

# TOBACCO ENFORCEMENT ROUNDTABLE PLANNING TOOLKIT FOR LOCAL JURISDICTIONS

November 2012





# TOBACCO ENFORCEMENT ROUNDTABLES:

**Tools for  
Successful  
Partnerships**

# ACKNOWLEDGEMENTS

The California Tobacco Control Program, California Department of Public Health (CTCP/CDPH) is grateful to leadership and guidance provided by the following individuals in the development of this toolkit: Andrea Valdez, MPA, CTCP/CDPH; Mary Strode, MS, CTCP/CDPH; Tonia Hagaman, MPH, CTCP/CDPH; Kelly Gordon, Sergeant, Montebello Police Department; Eugenio Garcia Jr, MPH, CTCP/CDPH; and Colleen Haydon, MSW, MPH, Project UNIFORM (Undoing Nicotine Influence for Our Respected Military). Additionally, we thank the participants, planners and host agencies of the four regional Tobacco Enforcement Roundtables conducted by CTCP/CDPH from 2007-2011 who provided their time and expertise. A special thanks to Gretta Foss-Holland, CTCP/CDPH, for designing the layout and developing the graphic design.

Funding for this toolkit was provided by the Centers for Disease Control and Prevention (CDC).

## Suggested Citation:

Valdez A. Tobacco Enforcement Roundtables: Tools for Successful Partnerships. California Department of Public Health, California Tobacco Control Program. Sacramento, CA. 2012

# TABLE OF CONTENTS

Chapter 1: Introduction to the Roundtables .....	1
Chapter 2: Developing and Maintaining Relationships with Law Enforcement .....	5
Chapter 3: Planning a Roundtable .....	9
Chapter 4: Roundtable Implementation .....	15
Chapter 5: Roundtable Evaluation .....	17
References .....	19
Tools and Resources .....	21



# CHAPTER 1:

## INTRODUCTION TO THE ROUNDTABLES

In 2011, the California Department of Public Health, California Tobacco Control Program (CDPH/CTCP) successfully completed four regional Tobacco Enforcement Roundtables. These interactive Roundtables gathered regional stakeholders together to discuss challenges, solutions, and “best practices” in implementing and enforcing tobacco sales laws and local retailer licensing ordinances. This toolkit is based upon experiences gained from conducting these four Roundtables.

### Purpose of the Toolkit

The purpose of *Tobacco Enforcement Roundtables: Tools for Successful Partnerships* is to provide information and tools to help agencies plan and conduct a local Tobacco Enforcement Roundtable which is designed to: 1) develop and maintain productive working relationships between public health programs and local and state law enforcement agencies charged with enforcing tobacco sales laws; and 2) identify and share effective enforcement practices among experienced partners.

This toolkit provides information on:

- How a Roundtable can help to build and foster a relationship between public health, local and state law enforcement, administrators, and the legal system;
- How a Roundtable can assist local communities to develop smart practices in the enforcement of tobacco sales laws;
- How to work with the unique culture of the law enforcement community; and
- How to plan and coordinate a Roundtable with maximum input from key stakeholders.

### The Challenge of Enforcement

The challenge of active enforcement of tobacco sales laws is well documented. Enforcement of tobacco sales laws is challenging due to competing enforcement priorities within a community (e.g., illicit drugs, alcohol sales to minors, gang activity), insufficient resources, and a lack of knowledge among public health partners related to enforcement practices and protocols.

The three primary California state laws affecting youth access to tobacco products are:

#### 1. Penal Code (PC) 308(a)

PC 308(a) prohibits the sale of tobacco products to minors. This law authorizes local law enforcement agencies to fine or charge with a misdemeanor store owners and/or clerks who sell tobacco products and paraphernalia to minors. This is the state law pertaining to tobacco sales that is most frequently enforced at the local level.

## 2. **Stop Tobacco Access to Kids Enforcement (STAKE) Act, Business and Professions Code Section 22950-22963**

The STAKE Act prohibits the sale of tobacco products to minors. It requires retailers to check the ID of those younger than 18 and to post the STAKE Act age-of-sale warning sign with the illegal tobacco sales hotline (1-800-5-ASK-4-ID) at each point of sale. The STAKE Act is most often enforced by the California Department of Public Health, Food and Drug Branch (FDB). However, local law enforcement agencies also have authority to enforce this law. Violations of the STAKE Act result in civil penalties that are assessed specifically against the store owner.

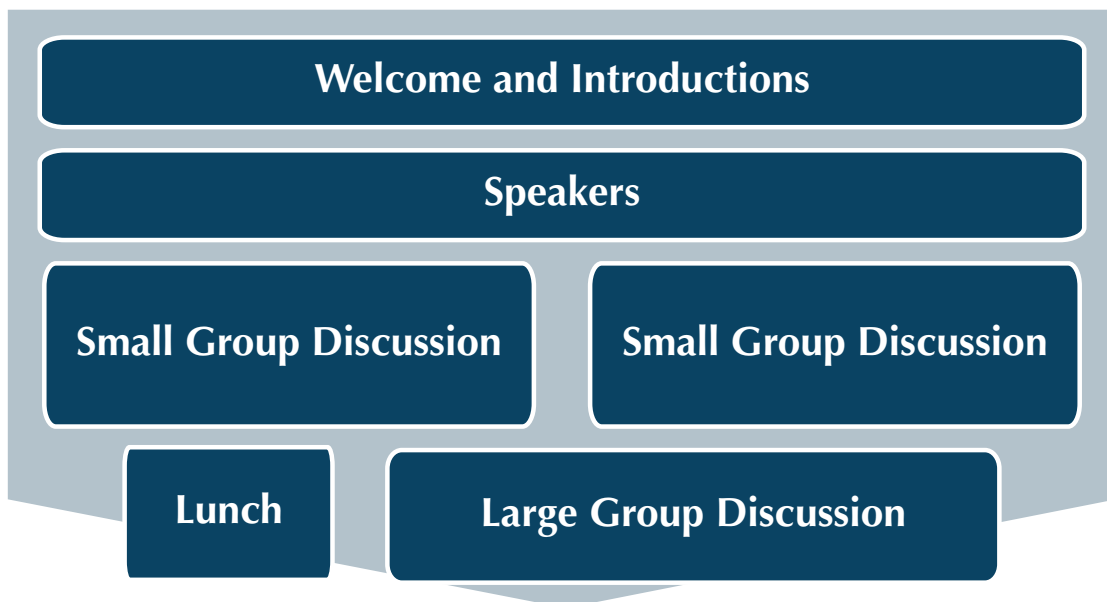
## 3. **Tobacco Retailer License (varies by jurisdiction)**

The Cigarette and Tobacco Products Licensing Act of 2003, Business and Professions Code Division 8.6, Section 22970-22991 requires all businesses in California that sell tobacco products to have a California Cigarette and Tobacco Products License. It also provides authority to local governments to enact tobacco retailer licensing (TRL) laws. Local TRL laws typically require tobacco retailers to obtain a license to sell tobacco products within a specific jurisdiction, and can include broader provisions including, but not limited to, the location, number, and/or density of retailers. The cost of the license directly funds enforcement operations.

# What is a Tobacco Enforcement Roundtable?

A Roundtable is an innovative intervention designed to facilitate collaboration among local law enforcement agencies and to identify “smart” practices. Smart practices are the interesting ideas or efforts that have proven to be effective based upon the experience of the participants (Bardach). Through discussions between enforcement agencies and other stakeholders, the community identifies what works, the elements of why these practices work, as well as the practices that do not work. As a result of discussing such things as the challenges of enforcement, lessons learned through experience, and the sharing of successful practices, participants arrive at the smart practices relevant to their community.

**Figure 1. Roundtable Format**





## The Roundtable Format (Figure 1) has several basic components:

### Welcome and Introductions (15 minutes)

- Welcome of Roundtable participants by host agency.
- Set the tone for the day.
- Review Roundtable goals, housekeeping items, and agenda.

### Speakers (15 – 30 minutes)

- Highlight the experience of a local tobacco control program, or share resources offered by enforcement agencies in the region (such as Alcoholic Beverage Control, Board of Equalization, Sheriff's or Police Department, etc.).
- Limit presentations to no more than 30 minutes altogether.

### Small Group Discussion (up to 2 hours)

- Divide attendees into two or more groups of ten participants or less.
- Ensure that each group has a mix of experience, enforcement roles, and community affiliation to allow for the sharing of ideas across jurisdictions and experience levels.
- Select facilitators that are experienced with facilitation and knowledgeable about the enforcement of tobacco sales laws and the needs of the local community.
- Develop a discussion guide that addresses the challenges of enforcement, lessons learned through experience, and the sharing of successful practices.
- Assign one dedicated note-taker per small group to capture the information shared and to organize themes for the large group discussion.

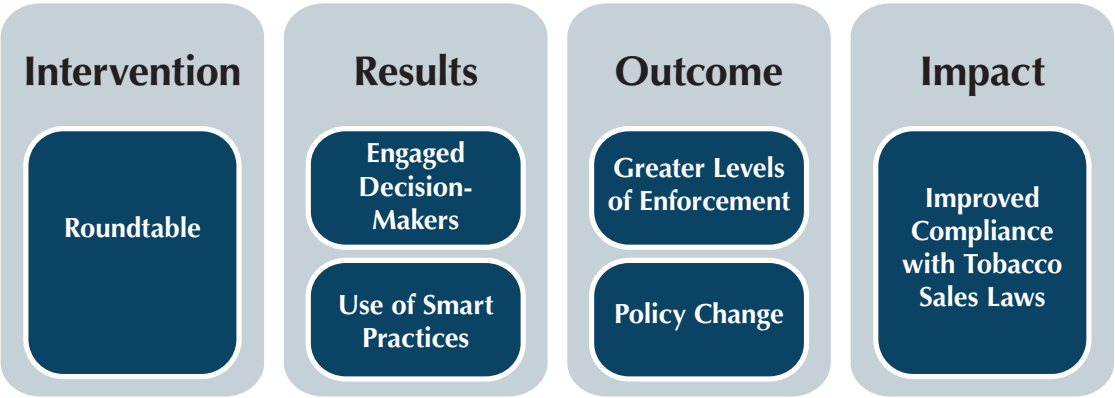
### Large Group Discussion (up to 1 hour)

- Share the outcomes of the small group discussions broadly and bring key themes to the forefront.
- Led by one facilitator, preferably with experience enforcing tobacco sales laws, and at least one note-taker to capture comments on easel paper large enough for all participants to see.
- Set the following three goals for this discussion: 1) to highlight smart practices that emerge from the small group discussions, 2) to discuss any unresolved challenges still facing the participants, and 3) to develop workable solutions to those challenges using the collective expertise and experience of Roundtable participants.
- Include this section as part of a working lunch to give participants enough time to complete the agenda and/or to ensure continued focus and engagement.

## Why Should A Local Public Health Program Organize a Roundtable?

The process by which a Roundtable leads to change is described in Figure 2. The first step in this model is the Roundtable itself. A Roundtable can enhance the adoption and use of local smart practices in enforcing tobacco sales laws, and strengthen engagement by enforcement agencies and other stakeholders. These results can have two outcomes: 1) changes in key decision maker attitudes related to tobacco control policies; and 2) increased enforcement actions. As the quality and frequency of enforcement actions increases, retailers will increase compliance with tobacco sales laws. The resulting impact is improved compliance with tobacco sales laws and interagency collaboration.

**Figure 2. Roundtable Logic Model**



Among participants of the 2007-2011 Tobacco Enforcement Roundtables, more than 80 percent reported improvements in the enforcement of tobacco sales laws, interagency collaboration, and administrative processes (California Tobacco Control Program, 2011). Additionally, perceptions of a strong collaboration between tobacco control programs and enforcement agencies is a significant predictor of whether decoy operations are being conducted (Rogers, 2008).

# CHAPTER 2:

## DEVELOPING AND MAINTAINING RELATIONSHIPS WITH LAW ENFORCEMENT

Public health often uses a community-building framework in which key stakeholders and community representatives are convened to build efforts from the ground up. The success of these efforts generally relies upon the level of community engagement among diverse groups and interests. Frequently, the active involvement of law enforcement is not a priority in the community engagement process due to the misperception that law enforcement agencies do not want or do not have time to be engaged in community-building and policy development, or due to organizational cultural differences between public health and law enforcement agencies. However, failing to adequately involve law enforcement agencies when tobacco control laws are drafted may result in policies that are difficult to enforce and/or are unrealistic in their requirements.

The law enforcement community is just like any other community, with its own dress, customs, and even language and terminology. Establishing a good working relationship built on mutual trust, respect, and the sharing of resources is necessary to best enforce local and state tobacco sales laws. While there may be differences between the law enforcement and public health communities, there are also similarities. Both have the best interests of the community at the core of their work. This chapter discusses how to establish basic cultural competency with respect to law enforcement, and how to become a better partner with law enforcement agencies.

### **Establishing Relationships with Law Enforcement**

Establishing a respectful relationship with local law enforcement agencies goes a long way toward building a successful partnership. As a first step, it is advisable to arrange an in-person meeting with a law enforcement representative to discuss the enforcement of tobacco laws in your jurisdiction. This may be someone who is pre-assigned to actively enforce tobacco laws. In areas without active enforcement of tobacco laws, you may be meeting with the Chief, Sheriff, Community Liaison, or anyone that has the time.

Meeting with law enforcement for the first time can be intimidating, but it is also a great opportunity to demonstrate the resources public health programs can bring to a collaborative relationship. Your approach to this relationship is very important. Like many communities, law enforcement prefers an approach of “teach, not preach.” Law enforcement personnel are often aware of and concerned about the dangers of tobacco use and illegal tobacco sales to youth. Provide them with relevant information, but try to avoid overloading them with dense reading materials.

Do not assume that the lack of enforcement of tobacco sales laws is an issue of ignorance or disinterest by your local law enforcement agency. Funding at the local level is very hard to obtain, and when increased funding is directed to law enforcement, tobacco sales laws are rarely the priority. Think through all the

potential barriers before you connect, and be sure to talk with your law enforcement contact about the challenges they face. Through open communication, you reinforce the importance of law enforcement in implementing tobacco sales laws, and are better able to develop the strongest enforcement plan possible for your jurisdiction.

Before meeting with representatives of law enforcement, it is important to acknowledge that as with all communities, law enforcement has its own culture with its own expectations and work style. While there is no single law enforcement culture, there are some cultural norms which typically span across law enforcement populations and are important to observe:

- **Be formal and polite:** When speaking on the telephone, use a formal and respectful tone and language. In person, follow the lead of your contact to indicate appropriate practices. It is possible that you will need to address law enforcement personnel using proper titles such as Chief, Sheriff, or (Rank) (Last Name), and you can never go wrong using “Sir” or “Ma’am.” Let your contact inform you if they would prefer to be called by their first name. When meeting in person, dress in business attire.
- **Understand the hierarchy:** Law enforcement uses a hierarchical structure where decisions are made from the top down. There is a single person (in this case, likely a Chief or Sheriff) with ultimate authority, and each level below this person represents a lower level of authority. This chain of command is very deliberate, and it is considered disrespectful to jump ahead in the hierarchy. To limit confusion or frustration, always ask the agency to identify the appropriate contact for the enforcement of tobacco laws, and understand that even this individual may need to consult with a higher level of authority.
- **Keep personal thoughts personal:** While you may have strong personal feelings about law enforcement and its role in your community, it is inappropriate to share those feelings while in a professional setting. Keep your discussion professional and on point, and avoid offensive questions such as “Have you ever shot anyone?” or “Are there any good cops?” Also, limit discussions of personal life and politics. Remember, you are there for a professional purpose.

There are a number of important considerations as you begin to build a relationship with law enforcement. Relationship building requires a proactive approach, often with communities which we may not feel comfortable or experienced in engaging. The first step is acknowledging that these communities are likely not going to engage you; public health representatives must be the first to reach out. Before meeting with law enforcement, develop focused goals for the enforcement of tobacco laws and be ready to share them. As you share your interest in active enforcement, it is equally important to also spend time listening to their concerns. If you can develop shared goals to address, your partnership will be stronger. If law enforcement representatives request additional information or resources, meet their needs in a timely manner. With anything you offer to the law enforcement community, be sure to follow through. Nothing will ruin a relationship faster than not keeping promises.

As you prepare to serve as a resource to law enforcement, it is important to consider the needs of the agency you are engaging. By directly asking law enforcement what they need to better enforce tobacco laws, you show that you value their opinion and that you are not simply asking them to do more work,

but instead are trying to build a partnership to address the community's needs. Do your homework ahead of time and ask about their goals and interests, and find common ground. It is also important to acknowledge that the goals of law enforcement and public health are not always aligned. As you would with other communities, speak to law enforcement in terms that they can relate to and understand.

Tobacco control has many resources to offer law enforcement. Your program or coalition can work with law enforcement to:

- Identify a dedicated source of funding for enforcement operations, such as TRL ordinances that dedicate a portion of the fee towards the cost of enforcement.
- Recruit youth for undercover buying operations.
- Provide educational material and signage about tobacco control laws.
- Link local law enforcement agencies with CDPH/CTCP law enforcement training opportunities.

Finally, there is no substitute for engagement. While this toolkit contains information and resources for working with law enforcement on a Tobacco Enforcement Roundtable, the best way to build a relationship with local law enforcement is to connect with them. Pick up the phone, send an email, and meet them in person. Above all, treat all your contacts in the law enforcement community with respect.

## Communicating the Importance of Enforcement

Budget constraints and existing workloads make it challenging to raise the priority of enforcing tobacco laws. Educating local law enforcement about tobacco in the retail environment is an important place to begin the collaborative relationship. Be prepared to describe the resources your public health program has to offer. In Tools and Resources (page 21), you will find a fact sheet entitled [Quick Facts: Tobacco Laws Enforced at the Local Level](#) that you can use as an educational tool when communicating with law enforcement.

Equally important to the content you are communicating to law enforcement is the method you use to communicate it. Here are some simple tips to remember:

1. Keep materials and conversations short and to the point: As noted earlier, law enforcement has very little time to do the work of community building. There is a value to direct language and brief discussion.
2. Limit jargon: Be aware that public health terminology and law enforcement terminology may not be the same, so be an active listener and limit your own use of jargon. Keep it simple.
3. Be a reliable resource: When building relationships, honesty and reliability are both required. If you don't know the answer to a question, say so and then follow up with the answer as soon as possible. Guessing at an answer will reduce your credibility with this audience.
4. Educate yourself on tobacco sales laws: The best way to communicate about tobacco enforcement is to become as knowledgeable about the subject as you can.
5. Recognition: Any good relationship always includes the use of "please" and "thank you."

## Strategies to Sustain the Tobacco Control/Law Enforcement Working Relationship

There are a number of ways to proactively sustain the relationship between tobacco control programs and law enforcement. Serving as a point of contact to law enforcement is important as your working relationship progresses. As law enforcement becomes more engaged, they may seek out additional resources relevant to tobacco laws, enforcement, and community engagement. Some of the resources law enforcement representatives might request include:

- **Local data:** Share results from local Youth Tobacco Purchase Surveys (YTPS).
- **Training:** PC308(a) trainings are an important tool for communities that are actively enforcing tobacco sales laws. The PC308(a) training binder is available for free download online (<http://www.tcsstore.org/>). Additionally, CTCP has law enforcement trainers available who can provide in-person training to local law enforcement agencies.
- **Materials and other items:** Sharing the resources you have with law enforcement can go a long way toward maintaining a good working relationship. Items such as sample materials, financial support for overtime to conduct enforcement operations, and sharing equipment and food during training exercises are all needed.
- **Volunteers:** Many public health programs have access to active coalition members and community volunteers. There can be opportunities for these community members to work with law enforcement. Law enforcement can also partner with public health representatives to educate decision-makers and the community about strong local policies. They may even be interested in serving as a coalition member.

However, these aren't the only resources law enforcement may need. Refer to the [Annotated List of Resources](#) for a more comprehensive listing of materials and organizations relevant to the retail environment.

It is also important that public health representatives sustain the relationship with law enforcement by working together on a number of activities, such as:

- Providing education to the community, City Council, or Board of Supervisors;
- Hosting tobacco sales laws enforcement trainings;
- Collecting enforcement data; and
- Conducting YTPSs and enforcement activities (e.g., youth decoy operations).

Each group has a complimentary set of skills and experiences, both of which are vital to strong enforcement efforts. Public health representatives can offer tobacco facts and figures and awareness of community tobacco control needs, whereas law enforcement can offer knowledge about implementation of the law.

# CHAPTER 3:

## PLANNING A ROUNDTABLE

This chapter will utilize the relationships you built in Chapter 2 to assist in the Roundtable planning process: assessing your community; recruiting and engaging a planning group, and selecting the best possible group of Roundtable invitees and participants. You will also learn to develop thoughtful discussion content and consider logistical details important to Roundtable success.

### Step 1: Assessing Your Community for Readiness

Before you begin planning a Roundtable, first review and assess the issues and people relevant to enforcing tobacco laws. This will provide you with direction on who should be invited, topics of discussion, and where the Roundtable should be held. Table 1 provides guidance on assessing your community's readiness for a Roundtable.

Internet searches, personal contact with stakeholders via phone or email, key informant interviews, and recent media coverage can help in understanding the community and local enforcement of tobacco laws. Finally, law enforcement personnel can be an important source of information as you determine the level of local enforcement. A [Tobacco Enforcement Assessment Tool](#) can be found under Tools and Resources (page 21).

Once you have assessed your community, determine whether you are ready to begin working with a planning group. If you find yourself unable to complete an assessment due to a lack of information, you will need to do more work investigating the enforcement of tobacco laws in your community and strengthening your enforcement connections. If the assessment process finds limited interest by stakeholders in tobacco enforcement or an unfavorable environment, then consider postponing your plans for a Roundtable. Visit Chapter 2 for suggestions on building relationships with law enforcement, a vital stakeholder in the enforcement and Roundtable process.

### Step 2: Convening a Planning Group

#### Inviting Planning Partners

In your assessment, you will have identified the key stakeholders. Some of these individuals will be included in your list of Roundtable invitees. Others will be recruits to your Roundtable planning group, which will assist you in making personal connections with invitees, arranging logistics, and determining appropriate discussion content.



In selecting members of the planning group consider:

- **Time commitment** – do the individuals you have in mind have enough time, in addition to their regular workloads, to assist you in the planning process?
- **Group unity** – are there any political or personal issues between the members of the planning committee?
- **Barriers** – are there any obstacles that will keep the planning group members from participating in a meaningful and productive way? Even if these barriers exist, they can be managed with open and honest discussion throughout the planning process about your expectations of the group as well as what they can expect of you.
- **Skills and attributes of each individual** – are each of your stakeholder groups represented? Are the participants invested in the Roundtable and its outcomes? Are there individuals on the planning committee who can examine the big picture as well as the logistical details, or have planning experience?

Finally, the most important and overarching criteria for selecting planning group participants is their knowledge and experience with the topic and key stakeholders in your area of interest. The planning group should have experience in enforcing and implementing tobacco sales laws, a role that law enforcement representatives are best positioned to fill. Local public health department or tobacco control program representatives can be an excellent source of information on the rigors of educating others about illegal sales to minors and comprehensive retail environment policies. As a whole, your planning committee should understand and speak to the realities of tobacco enforcement in your community.

## Managing the Planning Group

Once you've invited individuals to join your Roundtable planning group and they have agreed to join, you must turn to the task of managing this group. Below are some suggestions that can help guide you through this process.

- **Demonstrate leadership**

As the Roundtable organizer, you will need to take responsibility for the logistical elements of planning such as securing a location, ordering food, and printing materials. Your leadership will also be necessary to organize the planning committee's interactions. Responsibilities assigned to the planning group should be based on the time commitment and the skills and interests of its members, which will vary. Some activities, like participant recruitment, are best delegated to planning group members that have pre-existing relationships with Roundtable invitees.

- **Manage expectations**

An important first step in the planning process is working with the planning group members on Roundtable goals. Each individual should have a role in the planning and goal-setting process. Group members should be clear on the division of responsibilities, and the timeline for completing any assignments. A document to assist with this process, the [Timeline and Assignment Sheet](#), is included in the Tools and Resources section (page 21).



As with any other project involving multiple perspectives, earning buy-in is important. Planning committee members should be able to contribute to the process and feel their opinions are being incorporated. Similarly, if there is a divisive issue keeping the group from moving forward, it is your responsibility to facilitate a resolution. With clearly defined goals and expectations, it will be easier to keep the planning process on track.

- **Communicate clearly and often**

Regular communication is essential. Apprise planning group members of new developments and engage them in decision-making. Meeting notes are an efficient way to keep everyone informed. Group members will have a reference to actions that have been agreed upon and next steps, and those members that may have missed a meeting can stay connected.

Keeping the planning group engaged is easier with a smaller number of people; a planning group larger than ten for a single event can be difficult to manage. Think through the content for which you will be soliciting feedback; have goals for each communication with the group. Items for review should be open for discussion, but without something to respond to, planning groups can have a difficult time providing constructive feedback. It's often helpful to give group members draft materials, ideas, or concepts to serve as a point of reference, which will focus and guide the discussion to the task at hand.

- **Develop and maintain a timeline**

Every process is likely to take longer than you think, so cushion the deadlines with additional time to complete tasks, especially those that are reliant upon other group members, such as participant recruitment. Your planning group may have insight on setting your timeline, but even if they don't, they should be aware of and agree to the deadline for their responsibilities. Begin planning the timeline with the Roundtable date, and work backwards. Revise the timeline as other issues arise.

Planning for a Roundtable is a fluid process. Be flexible; listen to the planning group's input and advice, and guide them toward completion.

## **Connecting with Law Enforcement Partners**

The relationships you've built with law enforcement are essential as you begin planning the Roundtable. Reach out to local law enforcement and consider how their experience and connections should be involved. Holding the Roundtable at the site of a law enforcement facility (Police Station or Law Enforcement Training Facility) is an important way to set the tone for the group discussion, facilitate credibility with participants, and demonstrate law enforcement support for the Roundtable.

## **Step 3: Developing the Agenda**

As you develop the Roundtable agenda, the main area of focus should be the goals you and your stakeholder planning group have for the Roundtable discussion. Should your discussion focus on determining smart practices in the enforcement of tobacco sales to minors laws? Or should it focus more on the challenges of enforcement and finding workable solutions? There may be other specific conversations that would be beneficial to participants, such as how to gain immunity for youth decoys, address new

and emerging tobacco products, or how to build community support for local TRL laws. Selecting goals for the Roundtable will shape the kinds of questions posed during the group discussions. Determining these goals is a decision best made by the planning committee, utilizing the knowledge of the law enforcement experts in your community. Use your completed community assessment to assist in this process. Questions you can use to generate group discussion can be found in the Tools and Resources section (page 21): [Facilitator Small Group Discussion Topics Overview](#) and [Facilitator In-Depth Small Group Discussion Topics](#).

A handful of other minor variables may also shape your agenda. If participants need to travel long distances, consider beginning the Roundtable later in the morning. If you have a group too small to split into subgroups for a productive discussion, consider re-organizing the agenda to accommodate one large group discussion. A half-day agenda may be enough time to cover your selected topics and still be responsive to participants' work schedules. A [Tobacco Enforcement Roundtable Agenda](#) can be found under Tools and Resources (page 21).

Finally, evaluation is an important piece of the Roundtable agenda. Carve out time for participants to complete any on-site evaluation forms. Remind participants of any post-Roundtable evaluation that may be sent to them. Further discussion about Roundtable evaluations that can be done pre-, post-, or mid-Roundtable can be found in Chapter 5.

## Group Discussions

While experience is important to having productive group discussions, those new to enforcement do not need to be excluded. In fact, these individuals can help contribute to a well-rounded discussion. If you have more than one discussion group, think about how these groups should be divided— will you (and the planning group) assign participants to groups ahead of time or let them self-select? There will be a greater diversity of ideas shared if each group has a mix of experience, community affiliation, and enforcement roles (e.g., public health, direct enforcement, and adjudication). Participants will learn from their counterparts in other jurisdictions, and from the partners in their local enforcement processes.

Prepare the facilitators selected to direct the group discussions. If the facilitators have not been a part of the planning process, bring them up to speed on decisions made so far. Orient them to their role by discussing the desired outcomes for the small group discussion and the needs of Roundtable participants. A [Facilitation Tip Sheet](#), [Facilitator Small Group Discussion Topics Overview](#), and [Facilitator In-Depth Small Group Discussion Topics](#) are guides to assist with facilitator preparation. These tools can be found in the Tools and Resources section (page 21).

## Step 4: Participant Engagement

### Identifying Participants

Selecting Roundtable participants is an important process because these individuals will set the tone and determine the outcomes of the small group discussions. Two resources to aid the selection process are the Roundtable goals and the results of the local enforcement assessment. If your Roundtable goals

include consideration of policy solutions to the problem of illegal tobacco sales to minors, then inviting potential policy champions from the City Council or Board of Supervisors will be important. If your Roundtable goals focus on coordination between regional and local jurisdictions, then inviting a broad range of enforcement and public health participants will be useful.

The assessment should have captured many of the individuals in your community with an interest in tobacco sales laws. This includes those enforcing and adjudicating tobacco sales laws at the local and/or regional level, such as code enforcement, Alcoholic Beverage Control (ABC) representatives, Board of Equalization (BOE) representatives, local law enforcement, county health department and/or tobacco control program staff, City Council members and/or County Supervisors, County Counsel, City Attorney, District Attorney, and local elected officials/decision makers. Not all of the people identified must be invited to participate in the Roundtable, but the planning group should carefully consider all the stakeholders. For example, non-traditional stakeholders, such as ABC representatives, may have a unique experience with enforcement in retail settings that participants will find useful.

## Participant Recruitment and Event Promotion

One of the final, and most important, pieces of planning a Roundtable is getting invitees to register and attend. This can be a challenge, especially when working with the law enforcement community's often unpredictable schedules and other barriers noted in Chapter 2. The following are some tips for maximizing the number of Roundtable participants:

1. Give invitees plenty of time to register. Many participants, especially law enforcement, will need at least one month of advance notice between receiving the Roundtable invitation and the deadline to register. Also consider sending out Save-the-Date notices to invitees so that they are aware of the Roundtable as far in advance as possible. A [Save-the-Date Flyer](#) and [Letter of Invitation](#) can be found in the Tools and Resources section (page 21).
2. Emphasize the benefits of attendance. All of your Roundtable event promotional materials should include reasons for participating that suit the audience. For example, materials directed at law enforcement should mention if the Roundtables will include discussion on how to address challenges in youth decoy operations.
3. Give invitees several ways to register. The easier you make it for busy people with non-traditional schedules to sign up, the more likely they will do so. If possible, provide registration by fax, phone, mail, email, and online (through a free service such as SurveyMonkey). Whatever method(s) used, be sure to acknowledge when people register. A confirmation letter or email works well for this purpose. A sample [Registration Form](#) can be found in the Tools and Resources section (page 21).
4. Follow-up with invitees. Invitees will need multiple friendly reminders to register via phone, email, or personal encounter.

5. Reach out through existing relationships. The personal relationships you and your planning committee members have built with key stakeholders are especially useful. Those individuals with an existing connection to Roundtable invitees will be able to utilize their one-on-one relationship to ask for participation and to answer any questions.
6. Be flexible with registration. Law enforcement registrants may encounter last minute schedule changes due to the nature of their work. Be flexible enough to anticipate that some registrants may not be able to attend, or may want to send a replacement to the Roundtable.
7. Meet attendee needs. Any obstacles to attendance should be removed. Host agencies may be able to reduce the “costs” associated with attending the Roundtable by offering free food, parking, and mileage reimbursement. Be responsive to attendees that require food or other accommodations as indicated through the registration process.

Once invitees have registered, the agenda is set and the planning group and facilitators are prepared, you are ready to have your Roundtable! The next chapter will give you some guidance on Roundtable implementation for the day of your event.

# CHAPTER 4:

## ROUNDTABLE IMPLEMENTATION

While this toolkit provides resources to ensure you are prepared on the day of the event, there are always unexpected challenges. This brief chapter highlights some of the considerations to keep in mind on the actual day of the Roundtable. These include:

### Logistics

1. Registering attendees on-site: You may have some last-minute Roundtable attendees (and cancellations) especially within the law enforcement community, since their schedules can be unpredictable. If you have nametags, bring some blank ones for unexpected attendees. Also consider bringing on-site registration forms to collect contact information so that you can have an accurate roster of all attendees. An [On-site Registration Form](#) can be found under Tools and Resources (page 21).
2. Coordinating with venue/vendors: Arrive on site at least one hour early to ensure the proper set up of tables, chairs, a registration area, and other logistical arrangements. If there are food vendors arriving, be sure to know where they should set up and when to expect delivery. For reference purposes, have copies of all orders placed and/or receipts from items ordered. Order a little extra food to accommodate last-minute attendees.
3. Coordinating with partners and planning group: The planning group, facilitators, and those assisting with set-up should also arrive early to the event location. Each of these partners should be aware of their roles ahead of time, but be prepared to provide additional orientation on the day of the event.
4. Housekeeping: Be sure to understand parking restrictions, the location of restrooms, and other logistical concerns in advance. Review these items with participants first thing, so you can head off questions later on.

### Content

1. Training materials: A Roundtable is a great opportunity to provide materials and resources relevant to the retail environment to participants. Some materials to consider including are listed in the [Annotated List of Resources](#), but you should also bring any available local information and resources to share.
2. Small group discussion: Facilitators should lead each small group through a discussion of the challenges of enforcement, lessons learned through experience, and the sharing of successful practices. There are a number of sample questions in the [Facilitator In-Depth Small Group Discussion Topics](#). Prior to the Roundtable, the facilitator and planning committee should agree on the most

important questions to cover, drawing on needs assessment data. Try to guide the group through as many of these questions as possible, while still allowing for productive discussions. About 15-30 minutes before the scheduled conclusion of the small group discussion, the facilitator and participants should identify key themes that surface, any smart practices that are revealed, and any outstanding questions that could benefit from a larger group discussion. One planning group member should record each small group discussion(s).

3. Large group discussion: Small group facilitators will begin this time by reporting back to the larger group on the smart practices identified by the small groups and noting any unresolved challenges. The lead facilitator will then lead a large group discussion to highlight the key themes and develop workable solutions to those challenges using the collective expertise and experience of the Roundtable participants. One planning group member should record this discussion. About 15 minutes before the scheduled conclusion of the large group discussion, the facilitator should wrap up the discussion and identify next steps for the Roundtable host, planning group, and participants.

Immediately following the Roundtable, thank all of the individuals who helped plan and facilitate the day's events. Follow-up with written thank you notes or letters (especially recommended for any law enforcement partners), a phone call, or a less formal email. It is also a nice gesture, and assists in relationship-building with participants to send a thank you email to Roundtable participants as well.

Prepare and distribute recorded notes to participants within one month following the Roundtable. These should be concise, and highlight only the most relevant information.

Finally, provide a complete list of all Roundtable participants with contact information. If there are any other follow up materials that have been promised (PowerPoint presentations, etc.), be sure to send these materials to participants in a timely manner. As mentioned in Chapter 2, some of the most important elements of relationship-building are to serve as a resource and to follow through.

# CHAPTER 5:

## ROUNDTABLE EVALUATION

Evaluation is the tool by which we learn how to improve our performance (formative evaluation) and measure the impact of our actions (summative evaluation). Local programs can use the evaluation process to assess the experience of participants and make various improvements. Evaluation results can also be used to promote the value of the Roundtable as a collaborative tool. Table 2 describes several easy-to-use evaluation activities. Examples of each of these evaluation methods can be found under Tools and Resources (page 21).

**Table 2. Roundtable Evaluation Activities**

Method	Description
<i>Participant Needs Assessment</i>	<p>Goal: to determine who needs the Roundtable, how great the need is, and strategies that might meet that need. Items to assess may include food, logistics, and content</p> <p>Supplements the community assessment performed prior to Roundtable planning with additional details about participants' enforcement experience</p> <p>Can be especially helpful in shaping questions for the small group discussions</p> <p>Administered during the registration process</p>
<i>Participant Satisfaction Survey</i>	<p>Goal: to assist in gaining immediate strategic feedback on the Roundtable's effectiveness in providing participants with a productive experience and to improve future Roundtables</p> <p>Administered at the end of the Roundtable, preferably built into the agenda to give participants enough time to complete</p>
<i>Post-Roundtable Participant Outcomes Survey</i>	<p>Goal: to assist in determining the effectiveness of the Roundtable in achieving its goals over time</p> <p>Survey asks participants to rate the changes made locally as a result of their participation in the Roundtable</p> <p>Administered approximately six months after the Roundtable; can be administered in several six-month intervals if data over time is desired</p>

## Final Remarks

**“A journey of a thousand miles begins with a single step.” – Lao Tzu**

*Tobacco Enforcement Roundtables: Tools for Successful Partnerships* was created to help agencies plan and conduct a Tobacco Enforcement Roundtable. Through the work on the Roundtable to build relationships and develop thoughtful and relevant discussion content, communities and law enforcement personnel can create lasting collaborations around tobacco enforcement.

The process of planning, implementing, and evaluating a Roundtable may seem difficult, but the lessons learned will be invaluable. Though partnerships may experience unexpected challenges, the time spent developing the relationships with local law enforcement agencies, administrators, and the legal system will help build a community better prepared to serve its residents. Smart practices developed during the roundtable discussions will evolve and change over time.

By considering embarking upon your own Roundtable, you have taken the important first steps on the journey to build strong partnerships with law enforcement, and to increase compliance with tobacco control laws. This Roundtable may be the first of many conversations to engage stakeholders over time and help to determine and implement successful enforcement practices. By working in partnership, you will be better equipped to achieve your tobacco enforcement goals.



# REFERENCES

Bardach, E. *EPI Audio/Video Archive*. Retrieved November 10, 2011, from Economic Policy Institute: [http://archive.epinet.org/real\\_media/010111/materials/Bardach.pdf](http://archive.epinet.org/real_media/010111/materials/Bardach.pdf)

California Tobacco Control Program. (2008, October). Rural Youth Access Enforcement Survey for Rural Local Lead Agency and Competitive Grantees: Summary of Findings. Unpublished.

California Tobacco Control Program. (2010, November). Illegal Tobacco Sales to Minors Reach Historic Low. Sacramento, CA: California Tobacco Control Program.

California Tobacco Control Program. (2011). *2010 Youth Tobacco Purchase Survey*. Sacramento: California Department of Public Health.

California Tobacco Control Program. (2011, August). Roundtables Project Participant Survey Results. Unpublished.

Rogers, T. F. (2008). *Current Practices in Enforcement of California Laws Regarding Youth Access to Tobacco products and Exposure to Secondhand Smoke*. Sacramento: California Department of Public Health.



# TOOLS AND RESOURCES

## **Planning for the Roundtable**

*Tobacco Enforcement Assessment Tool*

*Timeline and Assignment Sheet*

*Save-the-Date Flyer*

*Letter of Invitation*

*Registration Form*

*Participant Needs Assessment*

## **On the day of the Roundtable**

*Facilitation Tip Sheet*

*Facilitator Small Group Discussion Topics Overview*

*Facilitator In-Depth Small Group Discussion Topics*

*Tobacco Enforcement Roundtable Agenda*

*On-Site Registration Form*

## **Evaluating the Roundtable**

*Participant Satisfaction Survey*

*Post-Roundtable Participant Outcomes Survey*

## **Resources**

*Quick Facts: Tobacco Laws Enforced at the Local Level*

*Annotated List of Resources*